

From the
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

To:

FERRARO, Neil, P.
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, MA 02210
ETATS-UNIS D'AMERIQUE

PCT

NOTIFICATION OF TRANSMITTAL OF
THE INTERNATIONAL PRELIMINARY
EXAMINATION REPORT

(PCT Rule 71.1)

Date of mailing
(day/month/year)

21.01.2005

Applicant's or agent's file reference
L0532.7003213000

IMPORTANT NOTIFICATION

International application No.
PCT/US 03/31876

International filing date (day/month/year)
08.10.2003

Priority date (day/month/year)
08.10.2002

Applicant
VERIFICATION TECHNOLOGIES, INC. et Al.

DOCKETED

FEB 4 2005

Initials	
Confirmation	<input type="checkbox"/>
Docketing	<input checked="" type="checkbox"/>
3/1/05	

1. The applicant is hereby notified that this International Preliminary Examining Authority transmits herewith the international preliminary examination report and its annexes, if any, established on the international application.
2. A copy of the report and its annexes, if any, is being transmitted to the International Bureau for communication to all the elected Offices.
3. Where required by any of the elected Offices, the International Bureau will prepare an English translation of the report (but not of any annexes) and will transmit such translation to those Offices.
4. **REMINDER**

The applicant must enter the national phase before each elected Office by performing certain acts (filing translations and paying national fees) within 30 months from the priority date (or later in some Offices) (Article 39(1)) (see also the reminder sent by the International Bureau with Form PCT/IB/301).

Where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary examination report. It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned.

For further details on the applicable time limits and requirements of the elected Offices, see Volume II of the PCT Applicant's Guide.

The applicant's attention is drawn to Article 33(5), which provides that the criteria of novelty, inventive step and industrial applicability described in Article 33(2) to (4) merely serve the purposes of international preliminary examination and that "any Contracting State may apply additional or different criteria for the purposes of deciding whether, in that State, the claimed inventions is patentable or not" (see also Article 27(5)). Such additional criteria may relate, for example, to exemptions from patentability, requirements for enabling disclosure, clarity and support for the claims.

Name and mailing address of the international preliminary examining authority:



European Patent Office - P.B. 5818 Patentlaan 2
NL-2280 HV Rijswijk - Pays Bas
Tel. +31 70 340 - 2040 Tx: 31 651 epo nl
Fax: +31 70 340 - 3016

Authorized Officer

Rasmussen, S

Tel. +31 70 340-4595



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INTERNATIONAL PRELIMINARY EXAMINATION REPORT (PCT Article 36 and Rule 70)



Applicant's or agent's file reference L0532.70032	FOR FURTHER ACTION See Notification of Transmittal of International Preliminary Examination Report (Form PCT/PEA416)	
Int. national application No. PCT/US 03/1876	International filing date (day/month/year) 08.10.2003	Priority date (day/month/year) 08.10.2002
Int. national Patent Classification (IPC) or both national classification and IPC B42D15/00		
Applicant VERIFICATION TECHNOLOGIES, INC. et Al.		

- This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.
- This REPORT consists of a total of 5 sheets, including this cover sheet.

☐ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

 These annexes consist of a total of sheets.

- This report contains indications relating to the following items:
 - I ☒ Basis of the opinion
 - II ☐ Priority
 - III ☐ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
 - IV ☐ Lack of unity of invention
 - V ☒ Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
 - VI ☐ Certain documents cited
 - VII ☐ Certain defects in the international application
 - VIII ☐ Certain observations on the international application

Date of submission of the demand 10.05.2004	Date of completion of this report 21.01.2005
Name and mailing address of the international preliminary examining authority:  European Patent Office - P.B. 5818 Patentlaan 2 NL-2280 HV Rijswijk - Pays Bas Tel. +31 70 340 - 2040 Tx: 31 651 epo nl Fax: +31 70 340 - 3016	Authorized Officer Evans, A Telephone No. +31 70 340-3580 

**INTERNATIONAL PRELIMINARY
EXAMINATION REPORT**

International application No. **PCT/US 03/31876**

I. Basis of the report

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

Description, Pages

1-33 as originally filed

Claims, Numbers

1-37 as originally filed

Drawings, Sheets

1/7-7/7 as originally filed

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:
- ☐ the claims, Nos.:
- ☐ the drawings, sheets:

**INTERNATIONAL PRELIMINARY
EXAMINATION REPORT**

International application No. **PCT/US 03/1876**

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)).

(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)

6. Additional observations, if necessary:

V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Statement

Novelty (N)	Yes: Claims	3,4,8,11,13,15
	No: Claims	1,2,5-7,9,10,12,14,16-37
Inventive step (IS)	Yes: Claims	3,4
	No: Claims	1,2,5-37
Industrial applicability (IA)	Yes: Claims	1-37
	No: Claims	

2. Citations and explanations

see separate sheet

Re Section V

Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Reference is made to the following documents:

D1: WO0054985

2. Document D1 shows (page 8 line 1 - page 9, line 4):

- a. An authentication mark (11) applied to a substrate(10) for aiding in the determination of whether the substrate is authentic, comprising a first image (20) comprising a first compound (17), the first compound (17) adapted to be altered between at least a first state and a second state, wherein a change from the first state to the second state suggests that the substrate(10) is authentic, cf claim 1.
- b. A method of authenticating a substrate (19) having an authentication mark (11) on the substrate (10), wherein a consumer can perform at least a portion of an authentication, the mark (11) comprising a first image (20), wherein a first compound (17) is used to create at least a portion of the first image (20), the first compound (17) adapted to be altered between at least a first state and a second state, the method comprising: viewing the first image (20) when the first compound (17) is in the first state; changing the first compound (17) from the first state to the second state; viewing the first image (20) when the first compound (17) is in the second state; and determining whether the mark (11) is authentic based on a change between the first and second states, cf claim 31.

Therefore the subject-matter of claims 1 and 31 is not new, Article 33(2) PCT..

- 3.1 The additional features of dependent claims 2,5-7,9,10,12,14,16-30,32-37 are implicit in document D1 considering that D1 discloses a security element comprising fluorescent and thermochromic parts- both of which can change from first to second states. The thermochromic part being readily tested by a consumer while the fluorescent part is invisible to the naked eye.
- 3.2 Dependent claims 8,11,13 and 15 do not appear to contain any additional features which involve an inventive step when combined with the subject matter of any claim to which they refer.

**INTERNATIONAL PRELIMINARY
EXAMINATION REPORT - SEPARATE SHEET**

International application No. PCT/US 03/31876

4. The combination of the features of dependent claims 3 or 4 is neither known from, nor rendered obvious by, the available prior art.

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